

09/485601

IN THE UNITED STATES DESIGNATED OFFICE

Applicant	Stephen Strittmatter
Serial No.	Filing Date: Concurrently herewith
Title of Application	Central Nervous System Axon Regeneration

Commissioner of Patents
and Trademarks
Washington, DC 20231

BOX PCT, ATTENTION DO/US

Transmittal Letter to the U.S. Designated Office (DO/US)
Entry into the U.S. National Stage Under Chapter II

1. Applicant herewith submits to the United States Designated Office (DO/US) the following items under 35 U.S.C. 371.

This is an express request to immediately begin national examination procedures (35 U.S.C. 371(f)).

2. A copy of the International Application as filed (35 U.S.C. 371(c)(2)):

XX

is transmitted herewith.

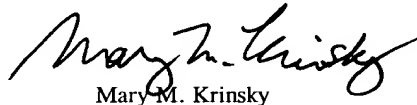
is not required as the application was filed with the U.S. Receiving Office.

has been transmitted by the International Bureau.

has been transmitted by applicant on ---.

Express Mail Certification: I hereby certify that this correspondence is today being deposited with the U.S. Postal Service as "Express Mail Post Office to Addressee" Mailing Label Number EL308938940US in an envelope addressed to: Box PCT, Commissioner of Patents and Trademarks, Washington, DC 20231.

February 11, 2000


Mary M. Krinsky

3. The U.S. National Fee (35 U.S.C. 371(C)(1)) and other fees (37 CFR) are indicated below:

Claims Fees			
Claims Fee – Number Filed	No. Extra	Rate	Calculation
Total Claims* 20 minus 20	= 0	@ 18	00.00
Independent Claims: 3 minus 3	= 0	@	00.00
Multiple Dependent Claims (if applicable)	= 0	@ \$260	0.00
Basic Fee – The International Search Fee, as set forth in Section 1.445(a)(2) to be paid to the US PTO acting as an International Searching Authority:	Has been paid (37 CFR 1.492(a)(2) @ \$760		670.00
	Has not been paid (37 CFR (1.492(a)(3) @ \$1,040		00.00
	Where a search report on the inter- national has been prepared by EPO or JOP @ \$910		00.00
Total of above Calculations			\$670.00
Small Entity - Reduction by half for filing by a Small Entity			\$335.00
Subtotal			\$335.00
Total National Fee			\$335.00
Recording Assignment fee			00.00
TOTAL			Total Fees Enclosed \$335.00

* See attached Preliminary Amendment.

Authorization to Charge Fees. The Commissioner is hereby authorized to charge the filing fee any additional fees by this paper and during the entire pendency of this Application to Account No. 25-0110.

Warning: If the translations of the international application, oath or declaration and national fee have not been submitted by the applicant within twenty (20) months from the priority date, the applicant will be so notified and given a period of time within which to file the translation and/or oath or declaration in order to prevent abandonment. The payment of the surcharge set forth in § 1.492(e) is required as a condition for accepting the oath or declaration later than twenty (20) months after the priority date. The payment of the processing fee set forth in § 1.492(f) is required for acceptance of an English translation later than twenty (20) months after the priority date. Failure to comply with these requirements will result in abandonment of the application. The provisions of § 1.136 will apply 37 CFR § 1494(c); Notice of January 7, 1993, 1147 O.G. 29 to 40, at et.

4. A translation of the International Application into the English language (35 U.S.C. 371(C)(2)):

☐ is transmitted herewith.
☒ is not required as the application was filed in English.
☐ was previously transmitted by applicant on ---.

5. Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)):

☐ are transmitted herewith.

☐ have been transmitted

☐ by the International Bureau. The date of mailing of the amendment (from form PCT/IB/308) is ---.

☐ by applicant on ---.

☒ have not been transmitted, as

☐ no notification has been received that the International Search Authority has received the Search Copy.

☐ the Search Copy was received by the International Searching Authority, but the Search Report has not yet been issued.

☒ applicants chose not to make amendments under PCT Article 19. The date of mailing of the Search Report (from form PCT/ISA/210) is 23 December 1998.

☐ the time limit for the submission of amendments has not yet expired. The amendment, or a statement that amendments have not been made, will be transmitted before the expiration of the time limit under PCT Rule 16.1.

6. A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)):

☐ is transmitted herewith.
☒ is not required as the application was filed in English.
☒ has not been transmitted for reasons indicated at point 5 above.

7. An oath or declaration of the inventor [35 U.S.C. 371 (c)(4)] complying with 35 U.S.C. 115

☐ was previously submitted by applicant on ---.

☐ is attached to the application.

☐ identifies the application and any amendments under PCT Article 19 which were transmitted as stated in points 3.b. or c. and 5.b; and states that they were reviewed by the inventor as required by 37 CFR 1.70.

☒ will follow.

09/485601

8. An International Search Report or Declaration under PCT Article 17(2)(a):

- ☒ is transmitted herewith.
☒ has been transmitted by the International Bureau. The date of mailing (from form PCT/IB/308) is 25 February 1999.
☐ is not required, as the application was searched by the United States International Searching Authority.
☐ will be transmitted promptly upon request.
☐ is not transmitted, as the International Search has not yet issued.

9. An Information Disclosure Statement under 37 CFR 1.97 and 1.98:

- ☐ is transmitted herewith.
☒ will be transmitted within three months of the date of submission of requirements under 35 U.S.C. 371(c).
☐ was previously submitted by applicant on ---.

Also transmitted herewith is/are:

- ☐ form PTO-1449.
☐ copies of citations listed.

10. Additional documents:

- ☒ Copy of Request (PCT/RO/101).
☒ International Publication No. WO99/08533 cover sheet.
☒ Preliminary Amendment (37 CFR § 1.121).
☒ Small Entity Statement.
☒ Other: fee transmittal.

11. A n assignment to Yale University will follow.

12. The above-checked items are being transmitted

- ☒ by 30 months and a proper demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.

Respectfully submitted,

Mary M. Krinsky

11 February 2000

Mary M. Krinsky, Registration No. 32,423
 Attorney for Applicants
 79 Trumbull Street
 New Haven, CT 06511-3708
 203-773-9544

004000 0999460

09/485601

428 Rec'd PCT/PTO 11 FEB 2000

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2000 <i>Patent fees are subject to annual revision.</i> <i>Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.</i> <i>See 37 C.F.R. §§ 1.27 and 1.28.</i>		Compleat if Known		
		Application Number	PCT/US98/16794 national phase	
		Filing Date	(internat.) 12 August 1998	
		First Named Inventor	Stephen M. Stritmatter	
		Examiner Name		
		Group / Art Unit		
TOTAL AMOUNT OF PAYMENT (\$)		335.00	Attorney Docket No.	OCR-842

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)																																																																																																																					
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account Number <u>25-0110</u> Deposit Account Name <u>Yale University</u> <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17		3. ADDITIONAL FEES <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105 130</td><td>205 65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127 50</td><td>227 25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139 130</td><td>139 130</td><td>Non-English specification</td><td></td></tr> <tr><td>147 2,520</td><td>147 2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112 920*</td><td>112 920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113 1,840*</td><td>113 1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115 110</td><td>215 55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116 380</td><td>216 190</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117 870</td><td>217 435</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118 1,360</td><td>218 680</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128 1,850</td><td>228 925</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119 300</td><td>219 150</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120 300</td><td>220 150</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121 260</td><td>221 130</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138 1,510</td><td>138 1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140 110</td><td>240 55</td><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>141 1,210</td><td>241 605</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142 1,210</td><td>242 605</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143 430</td><td>243 215</td><td>Design issue fee</td><td></td></tr> <tr><td>144 580</td><td>244 290</td><td>Plant issue fee</td><td></td></tr> <tr><td>122 130</td><td>122 130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123 50</td><td>123 50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126 240</td><td>126 240</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581 40</td><td>581 40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146 760</td><td>246 380</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr> <tr><td>149 760</td><td>249 380</td><td>For each additional invention to be examined (37 CFR § 1.129(b))</td><td></td></tr> <tr><td colspan="3">Other fee (specify) _____</td><td></td></tr> <tr><td colspan="3">Other fee (specify) _____</td><td></td></tr> </tbody> </table>		Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	105 130	205 65	Surcharge - late filing fee or oath		127 50	227 25	Surcharge - late provisional filing fee or cover sheet		139 130	139 130	Non-English specification		147 2,520	147 2,520	For filing a request for reexamination		112 920*	112 920*	Requesting publication of SIR prior to Examiner action		113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action		115 110	215 55	Extension for reply within first month		116 380	216 190	Extension for reply within second month		117 870	217 435	Extension for reply within third month		118 1,360	218 680	Extension for reply within fourth month		128 1,850	228 925	Extension for reply within fifth month		119 300	219 150	Notice of Appeal		120 300	220 150	Filing a brief in support of an appeal		121 260	221 130	Request for oral hearing		138 1,510	138 1,510	Petition to institute a public use proceeding		140 110	240 55	Petition to revive - unavoidable		141 1,210	241 605	Petition to revive - unintentional		142 1,210	242 605	Utility issue fee (or reissue)		143 430	243 215	Design issue fee		144 580	244 290	Plant issue fee		122 130	122 130	Petitions to the Commissioner		123 50	123 50	Petitions related to provisional applications		126 240	126 240	Submission of Information Disclosure Stmt		581 40	581 40	Recording each patent assignment per property (times number of properties)		146 760	246 380	Filing a submission after final rejection (37 CFR § 1.129(a))		149 760	249 380	For each additional invention to be examined (37 CFR § 1.129(b))		Other fee (specify) _____				Other fee (specify) _____			
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																																																																																				
105 130	205 65	Surcharge - late filing fee or oath																																																																																																																					
127 50	227 25	Surcharge - late provisional filing fee or cover sheet																																																																																																																					
139 130	139 130	Non-English specification																																																																																																																					
147 2,520	147 2,520	For filing a request for reexamination																																																																																																																					
112 920*	112 920*	Requesting publication of SIR prior to Examiner action																																																																																																																					
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action																																																																																																																					
115 110	215 55	Extension for reply within first month																																																																																																																					
116 380	216 190	Extension for reply within second month																																																																																																																					
117 870	217 435	Extension for reply within third month																																																																																																																					
118 1,360	218 680	Extension for reply within fourth month																																																																																																																					
128 1,850	228 925	Extension for reply within fifth month																																																																																																																					
119 300	219 150	Notice of Appeal																																																																																																																					
120 300	220 150	Filing a brief in support of an appeal																																																																																																																					
121 260	221 130	Request for oral hearing																																																																																																																					
138 1,510	138 1,510	Petition to institute a public use proceeding																																																																																																																					
140 110	240 55	Petition to revive - unavoidable																																																																																																																					
141 1,210	241 605	Petition to revive - unintentional																																																																																																																					
142 1,210	242 605	Utility issue fee (or reissue)																																																																																																																					
143 430	243 215	Design issue fee																																																																																																																					
144 580	244 290	Plant issue fee																																																																																																																					
122 130	122 130	Petitions to the Commissioner																																																																																																																					
123 50	123 50	Petitions related to provisional applications																																																																																																																					
126 240	126 240	Submission of Information Disclosure Stmt																																																																																																																					
581 40	581 40	Recording each patent assignment per property (times number of properties)																																																																																																																					
146 760	246 380	Filing a submission after final rejection (37 CFR § 1.129(a))																																																																																																																					
149 760	249 380	For each additional invention to be examined (37 CFR § 1.129(b))																																																																																																																					
Other fee (specify) _____																																																																																																																							
Other fee (specify) _____																																																																																																																							
2. EXTRA CLAIM FEES <table border="1"> <thead> <tr> <th>Total Claims</th> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>20**</td> <td></td> <td></td> <td></td> </tr> <tr> <td>3**</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Multiple Dependent</td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>**or number previously paid, if greater; For Reissues, see below</p> <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>103 18</td><td>203 9</td><td>Claims in excess of 20</td><td></td></tr> <tr><td>102 78</td><td>202 39</td><td>Independent claims in excess of 3</td><td></td></tr> <tr><td>104 260</td><td>204 130</td><td>Multiple dependent claim, if not paid</td><td></td></tr> <tr><td>109 78</td><td>209 39</td><td>** Reissue independent claims over original patent</td><td></td></tr> <tr><td>110 18</td><td>210 9</td><td>** Reissue claims in excess of 20 and over original patent</td><td></td></tr> </tbody> </table>		Total Claims	Extra Claims	Fee from below	Fee Paid	20**				3**				Multiple Dependent				Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	103 18	203 9	Claims in excess of 20		102 78	202 39	Independent claims in excess of 3		104 260	204 130	Multiple dependent claim, if not paid		109 78	209 39	** Reissue independent claims over original patent		110 18	210 9	** Reissue claims in excess of 20 and over original patent		1. BASIC FILING FEE <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>101 760</td><td>201 380</td><td>Utility filing fee</td><td>\$385</td></tr> <tr><td>106 310</td><td>206 155</td><td>Design filing fee</td><td></td></tr> <tr><td>107 480</td><td>207 240</td><td>Plant filing fee</td><td></td></tr> <tr><td>108 760</td><td>208 380</td><td>Reissue filing fee</td><td></td></tr> <tr><td>114 150</td><td>214 75</td><td>Provisional filing fee</td><td></td></tr> </tbody> </table> <p>SUBTOTAL (1) (\$) 335.00</p>		Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	101 760	201 380	Utility filing fee	\$385	106 310	206 155	Design filing fee		107 480	207 240	Plant filing fee		108 760	208 380	Reissue filing fee		114 150	214 75	Provisional filing fee																																																					
Total Claims	Extra Claims	Fee from below	Fee Paid																																																																																																																				
20**																																																																																																																							
3**																																																																																																																							
Multiple Dependent																																																																																																																							
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																																																																																				
103 18	203 9	Claims in excess of 20																																																																																																																					
102 78	202 39	Independent claims in excess of 3																																																																																																																					
104 260	204 130	Multiple dependent claim, if not paid																																																																																																																					
109 78	209 39	** Reissue independent claims over original patent																																																																																																																					
110 18	210 9	** Reissue claims in excess of 20 and over original patent																																																																																																																					
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																																																																																				
101 760	201 380	Utility filing fee	\$385																																																																																																																				
106 310	206 155	Design filing fee																																																																																																																					
107 480	207 240	Plant filing fee																																																																																																																					
108 760	208 380	Reissue filing fee																																																																																																																					
114 150	214 75	Provisional filing fee																																																																																																																					
SUBTOTAL (2) (\$)		SUBTOTAL (3) (\$)																																																																																																																					

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Mary M. Krinsky	Registration No. (Attorney/Agent)	32423
Signature	<i>Mary M. Krinsky</i>	Telephone	203-773-9544
		Date	11 February 2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.